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## UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/777,093	02/13/2004		A-10041

181  
 MILES & STOCKBRIDGE PC  
 1751 PINNACLE DRIVE  
 SUITE 500  
 MCLEAN, VA 22102-3833



CONFIRMATION NO. 4549

## FORMALITIES LETTER



\*OC000000012602314\*

Date Mailed: 05/12/2004

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

09/14/2004 SDIRETR1 00000053 10777093

01 FC:1051

130.00 OP

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted***Items Required To Avoid Abandonment:**

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Replacement drawings in compliance with 37 CFR 1.84 and 37 CFR 1.121 are required. The drawings submitted are not acceptable because:
  - The drawings must be reasonably free from erasures and must be free from alterations, overwriting, interlineations, folds, and copy marks. See Figure(s) 15.

**SUMMARY OF FEES DUE:**

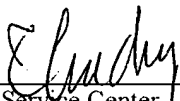
Total additional fee(s) required for this application is **\$130** for a Large Entity

- **\$130** Late oath or declaration Surcharge.

- Replies should be mailed to: Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

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*A copy of this notice MUST be returned with the reply.*



Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

**Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533)(Large Entity)**

Docket No.  
**A-10041**

In Re Application Of: **Ivo V. IVANOV, Dirk Alvin ROPER, and Wayne Patrick FERBERT**

Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
10/777,093	02/13/2004		181		4549

Invention: **DYNAMIC REBALANCING OF ASSETS IN AN INVESTMENT PORTFOLIO**



Mail Stop Missing Parts  
COMMISSIONER FOR PATENTS:

This is a response to the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533) mailed on  
May 12, 2004  
Date

Enclosed herewith for filing are the following:

- ☒ A copy of the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533). **(REQUIRED)**
- ☒ An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date.
- ☐ A properly signed oath or declaration in compliance with 37 CFR 1.63.
- ☐ An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date.
- ☐ A verified English translation of the non-English language application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the United States Patent and Trademark Office.
- ☒ Other (list):

Assignment recordation cover sheet; additional \$80.00 to cover for the assignment fee  
Preliminary Amendment  
Information Disclosure Statement  
Form PTO-1449  
Declaration for Utility Application Using an Application Data Sheet  
Application Data Sheet  
Power of Attorney and Correspondence Address Indication Form executed by Ivo V. Ivanov  
Power of Attorney and Correspondence Address Indication Form executed by Dirk Alvin Roper  
Power of Attorney and Correspondence Address Indication Form executed by Wayne Patrick Ferbert

09/14/2004 SDIRETA1 00000054 10777093

01 FC:1252

420.00 OP

**Docket No.**  
**A-10041**

Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
10/777,093	02/13/2004		181		4549

TO THE COMMISSIONER FOR PATENTS:

☐ Completion of application fees as calculated below:

- |   |                 |
|---|-----------------|
| <input type="checkbox"/> Utility application filing fee   | _____           |
| <input type="checkbox"/> Design application filing fee  | _____           |
| <input type="checkbox"/> Total number of independent claims = _____   | _____           |
| <input type="checkbox"/> Total number of claims = _____   | _____           |
| <input type="checkbox"/> Multiple dependent claims  | _____           |
| <input checked="" type="checkbox"/> Surcharge for late payment of filing fee and/or late filing of original declaration or oath | <b>\$130.00</b> |
| <input type="checkbox"/> Petition and fee for filing by other than all the inventors or a person not the inventor               | _____           |
| <input type="checkbox"/> Fee for processing an application filed with a non-English language specification                      | _____           |
| <input type="checkbox"/> Fee for processing and retention of application  | _____           |

**Total completion of application fees \$130.00**

☐ One month      ☒ Two months      ☐ Three months      ☐ Four months      ☐ Five months

from: **July 12, 2004**                  until: **September 12, 2004**  
Date Date

Total time extension fees	\$420.00
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**Total fees due                      \$550.00**

**Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533) (Large Entity)**

Docket No.  
**A-10041**

In Re Application Of: **Ivo V. IVANOV, Dirk Alvin ROPER, and Wayne Patrick FERBERT**

Application No. <b>10/777,093</b>	Filing Date <b>02/13/2004</b>	Examiner	Customer No. <b>181</b>	Group Art Unit	Confirmation No. <b>4549</b>
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Invention: **DYNAMIC REBALANCING OF ASSETS IN AN INVESTMENT PORTFOLIO**

**TO THE COMMISSIONER FOR PATENTS:**

**Mail Stop Missing Parts**

The fee of **\$630.00** is to be paid as follows:

- ☒ A check in the amount of the fee is enclosed.
- ☒ The Director is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account No. **50-1165**
- ☒ If an additional extension of time is required, please consider this a petition therefor and charge any additional fees which may be required to Deposit Account No. **50-1165**
- ☐ Payment by credit card. Form PTO-2038 is attached.

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

*Signature*

**Jason H. Vick, Reg. No. 45,285  
Customer No. 181  
Miles & Stockbridge PC  
1751 Pinnacle Drive, Suite 500  
McLean, VA 22102  
Telephone: (703) 903-9000**

Dated: **September 13, 2004**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to "Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450" [37 Cf. : 1.8(a)] on

(Date)

*Signature of Person Mailing Correspondence*

*Typed or Printed Name of Person Mailing Correspondence*

cc: **JHV/sys**